

MODIFIED Form PTO-1595  
(Rev. 10/02)

**RECORDATION FORM COVER SHEET**  
**PATENTS ONLY**

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

To the Director of the U.S. Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Kenji SHIMIZU  
Akira SAKAWAKI  
Kazuo KOBAYASHI  
Hiroshi SAKAI  
Takashi HIKOSAKA  
Soichi OIKAWA  
Tomoyuki MAEDA  
Futoshi NAKAMURA

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies):

SHOWA DENKO K.K.  
13-9, Shibadaimon 1-chome, Minato-ku, Tokyo 105-8518 Japan

KABUSHIKI KAISHA TOSHIBA  
1-1-1, Shibaura, Minato-ku, Tokyo, Japan

3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: April 20, 2006

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)  
10/541,905

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

SUGHRUE MION, PLLC

WASHINGTON OFFICE

23373

CUSTOMER NUMBER

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41): \$40.00

☒ Enclosed.  
☐ Authorized to be charged to Deposit Account No. 19-4880.

The USPTO is directed and authorized to charge all required fees, except for the Issue Fee and the Publication Fee, to Deposit Account No. 19-4880. Please also credit any overpayments to said Deposit Account.

8. Deposit Account Number:

19-4880

(Attach duplicate copy of this page if paying by deposit account)

**DO NOT USE THIS SPACE**

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

*Sheldon I. Landsman*

Sheldon I. Landsman

Reg. No. 25,430

May 17, 2006

Date

Total number of pages including cover sheet, attachments, and documents: 3

Mail documents to be recorded with required cover sheet information to:

**MAIL STOP ASSIGNMENT RECORDATION SERVICES**

Director of the U.S. Patent and Trademark Office

P.O. Box 1450

Alexandria, VA 22313-1450

# ASSIGNMENT

Whereas, I/we, (1) Kenji SHIMIZU; (2) Akira SAKAWAKI; (3) Kazuo KOBAYASHI; (4) Nguyen Tien Duong; (5) Hiroshi SAKAI; (6) Takashi HIKOSAKA; (7) Soichi OIKAWA; (8) Tomoyuki MAEDA; and (9) Futoshi NAKAMURA

Address of (1) - (5) inventors: c/o Showa Denko HD K.K., 5-1, Yawata Kaigan dori, Ichihara-shi, Chiba-ken; and address of (6) - (9) inventors: c/o Kabushiki Kaisha Toshiba, Ome Complex, 2-9, Suehiro-cho, Ome-shi, Tokyo, Japan, hereinafter called assignor(s), have invented certain improvements in

MAGNETIC RECORDING MEDIUM, METHOD OF MANUFACTURING THEREFOR, AND MAGNETIC READ/WRITE APPARATUS  
and executed an application for Letters Patent of the United States of America therefor on

April 20, 2006 ; and

Whereas, (1) SHOWA DENKO K.K. of 13-9, Shibadaimon 1-chome, Minato-ku, Tokyo 105-8518 Japan; and (2) Kabushiki Kaisha Toshiba of 1-1-1, Shibaura, Minato-ku, Tokyo, Japan (assignee), desires to acquire the entire right, title and interest in the application and invention, and to any United States and foreign patents to be obtained therefor;

Now therefore, for valuable consideration, receipt whereof is hereby acknowledged,

I/We, the above named assignor(s), hereby sell, assign and transfer to the above named assignee, its successors and assigns, the entire right, title and interest in the application and the invention disclosed therein for the United States of America and all countries foreign thereto, including the rights of priority under the International Convention of Paris (1883) as amended, and I/we request the Director - U.S. Patent and Trademark Office to issue any Letters Patent granted upon the invention set forth in the application to the assignee, its successors and assigns; and I/we hereby agree that the assignee may apply for foreign Letters Patent on the invention and I/we will execute without further consideration all papers deemed necessary by the assignee in connection with the United States and foreign applications when called upon to do so by the assignee.

I/We hereby authorize and request my/our attorneys SUGHRUE MION, PLLC of 2100 Pennsylvania Avenue, N.W., Washington, D.C. 20037-3213 to insert here in parentheses (Application number \_\_\_\_\_, filed \_\_\_\_\_) the filing date and application number of said application when known.

Date: April 20, 2006

s/ Kenji Shimizu  
Kenji SHIMIZU

Date: April 20, 2006

s/ Akira Sakawaki  
Akira SAKAWAKI

Date: April 20, 2006

s/ Kazuo Kobayashi  
Kazuo KOBAYASHI

Date: \_\_\_\_\_ s/ \_\_\_\_\_  
Date: April 20, 2006 s/ Hiroshi Sakai Nguyen Tien Duong  
Date: April 20, 2006 s/ Takashi Hikosaka Hiroshi SAKAI  
Date: April 20, 2006 s/ Soichi Oikawa Takashi HIKOSAKA  
Date: April 20, 2006 s/ Tomoyuki Maeda Soichi OIKAWA  
Date: April 20, 2006 s/ Futoshi Nakamura Tomoyuki MAEDA  
Futoshi NAKAMURA

(Legalization not required for recording but is prima facie evidence of execution under 35 U.S.C. § 261)

Sughrue 2100 PENNSYLVANIA AVENUE, N.W. WASHINGTON, D.C. 20037-3213

| INVOICE DATE | INVOICE NO.             |  |             |  | NET INVOICE |
|--------------|-------------------------|--|-------------|--|-------------|
| 05/17/06     | OPER: DAM 124001 073847 | Petition fee                                       |             |  | 130.00      |
| CHECK NO.    | CHECK DATE              |  | TOTAL GROSS |  | NET CHECK   |
| 298668       | 05/17/06                | 10456 DIRECTOR OF U.S. PATENT AND TRADEMARK OFFICE |             |  | 130.00      |



**Sughrue**

SUGHRUE MION, PLLC

2100 PENNSYLVANIA AVENUE, N.W.  
WASHINGTON, D.C. 20037-3213

\*\*\*ONE HUNDRED THIRTY AND 00/100 DOLLARS\*\*\*

PAY TO THE ORDER OF

DIRECTOR OF THE U.S. PATENT  
AND TRADEMARK OFFICE

|          |
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| DATE     |
| 05/17/06 |

65-270  
550

298668

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*Cynthia C. Cohen*

⑈ 298668 ⑈ ⑆ 055002707 ⑆ 206548885 ⑈

**PATENT APPLICATION**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of

Docket No: Q73847

Kenji SHIMIZU et al.

Appln. No.: 10/541,905

Group Art Unit: Unknown

Confirmation No.: 6243

Examiner: Unknown

Filed: July 12, 2005

For: MAGNETIC RECORDING MEDIUM, METHOD OF MANUFACTURING  
THEREFOR, AND MAGNETIC READ/WRITE APPARATUS

**PETITION UNDER 37 C.F.R. § 1.47(a)**

**ATTN: MAIL STOP PCT**

Assistant Commissioner for Patents

Washington, D.C. 20231

Sir:

Pursuant to 37 C.F.R. §1.47(a), Applicants hereby petition to proceed with the prosecution of the above-identified application, which names (1) Kenji SHIMIZU, (2) Akira SAKAWAKI, (3) Kazuo KOBAYASHI, (4) Nguyen Tien DUONG, (5) Hiroshi SAKAI, (6) Takashi HIKOSAKA (7) Soichi OIKAWA, (8) Tomoyuki MAEDA, and (9) Futoshi NAKAMURA as inventors. A Declaration and Power of Attorney is submitted herewith, which is executed by all of the above inventors, except for (4) Mr. Nguyen Tien DUONG, hereafter "Mr. Duong."

The basis for this Petition is that several attempts have been made to contact and locate Mr. Duong, and have him sign a Declaration for the present application. However, these attempts have not been successful. In connection with this Petition, applicants are submitting concurrently herewith a Statement of Facts with attached Documents 1 to 7. The Statement of Facts is signed by Mr. Masaaki Yanagisawa, a member of the patent staff of Showa Denko K.K., setting forth the factual circumstances surrounding the inability to obtain the signature of Mr.


PETITION UNDER 37 C.F.R. § 1.47(a)  
Application No. 10/541,905

ATTORNEY DOCKET NO. 73847

Duong and the efforts made to obtain the signature of Mr. Duong. The last known address at which Mr. Duong customarily receives mail is set forth in the Statement of Facts.

Submitted herewith is a check in the amount of \$130.00 for the petition fee. Please charge any deficiency or credit any overpayment to our Deposit Account No. 19-4880. Please also charge any fees necessary to maintain the pendency of this application, except for the Issue Fee, to our Deposit Account No. 19-4880. A duplicate copy of this paper is attached.

Respectfully submitted,

  
Sheldon I. Landsman  
Registration No. 25,430

SUGHRUE MION, PLLC  
Telephone: (202) 293-7060  
Facsimile: (202) 293-7860

WASHINGTON OFFICE

**23373**

CUSTOMER NUMBER

Date: May 17, 2006

**PATENT APPLICATION**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of

Docket No: Q73847

Kenji SHIMIZU, et al.

Appln. No.: 10/541,905

Group Art Unit: Unknown

Confirmation No.: 6243

Examiner: Unknown

Filed: July 12, 2005

For: MAGNETIC RECORDING MEDIUM, METHOD OF MANUFACTURING  
THEREFOR, AND MAGNETIC READ/WRITE APPARATUS

**STATEMENT OF FACTS**

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

I, Masaaki Yanagisawa, residing at Tokyo, Japan, declare and state as follows:

- 1) I am a member of the patent staff of Showa Denko K.K., since December 16, 1998, and have firsthand knowledge of the following.
- 2) My responsibilities included the preparation of a patent application on an invention entitled Magnetic Recording Medium, Production Process Thereof, and Magnetic Recording and Reproducing Apparatus, in the name of eight inventors, including Mr. "Nguyen Tien Duong" (hereafter "Mr. Duong"), who was an employee of Showa Denko K.K. A U.S. provisional application on this invention was filed on January 17, 2003 and received U.S. Provisional Application No. 60/440,631.

STATEMENT OF FACTS  
Application No. 10/541,905

ATTORNEY DOCKET NO. Q73847

3) An International Application on this invention was filed on January 14, 2004 and received Application No. PCT/JP2004/000205, claiming benefit of the above U.S. provisional application and priority of four Japanese patent applications. The International Application listed nine inventors, including Mr. "Tien Duong Nguyen," who is the same person as the Mr. Duong listed in the provisional application. Mr. Duong was an employee of Showa Denko K.K. at the time the International was filed and he reviewed it at that time.

4) A non-provisional application requesting entry into the National Stage based on the above International Application was filed in the United States on July 12, 2005, without any Declaration or Assignment. This non-provisional application received U.S. Serial No. 10/541,905.

5) At the time of filing the above non-provisional application on July 12, 2005, Mr. Duong had already resigned from Showa Denko K.K. and returned to his home country, Vietnam. When he resigned his position on November 15, 2004, Mr. Duong stated that he was returning to his home.

6) On July 12, 2005, I sent to Mr. Duong a copy of the documents that were filed in the United States, including the specification, claims and abstract, and a cover letter of instructions with a Declaration and an Assignment asking him to sign the Declaration and Assignment for the U.S. non-provisional application. A copy of the cover letter, which contains an English translation, and the Declaration and Assignment are attached as Document 1.



STATEMENT OF FACTS  
Application No. 10/541,905

ATTORNEY DOCKET NO. Q73847

7) These documents and cover letter were sent to Mr. Duong by global priority mail at his last known address for customarily receiving mail (his home address), which he had provided to Showa Denko K.K. at the time he resigned. This address is:

Mr. Nguyen Tien Duong  
Phong 508  
Day nna No. 1A  
Ban đạo Linh Dam  
Quan Hoong Mai  
Hanoi, Vietnam

8) The documents were sent by Registered Mail. Attached hereto as Document 2 is a stamped Receipt for International Mail, showing receipt by the Japanese Post Office of a registered mailing to Mr. Duong at the above address. The Registration No. of the mailing is "RR153394727 JP".

9) As of today, Showa Denko K.K. has not received any documents or communications from Mr. Duong, and the documents have not been returned to Showa Denko K.K.

10) I have asked the Japanese Post office about the usual notification practice of the global priority mail that Showa Denko K.K. employed. I was advised that no notification of the absence of the addressee is sent to the sender, even if the addressee cannot be found, and the original mailing itself is sent to the sender instead.

11) I learned that there is a procedure in which a sender can file a request for a search with the Post Office to investigate whether the documents were actually sent to the addressee or not, but such a request must be made within 6 months of the global mailing. Since the global

STATEMENT OF FACTS  
Application No. 10/541,905

ATTORNEY DOCKET NO. Q73847

mailing was made on July 12, 2005, the request was due by January 12, 2006. However, I did not learn of this procedure until after January 12, 2006, and thus Showa Denko K.K. was unable to make such a request.

Attached as Document 3 is a copy of the International Mail clause. Chapter 3 states that a search for international mail can be conducted when a sender requests it within 6 months from the date of sending. An English translation of the relevant portions of Chapter 3 is attached.

12) I have conducted an internet search for the global priority mail sent on July 12, 2005 under the Registration No. "RR 153394727 JP." Attached as Document 4 is a printout from the internet search that shows that there is no information which indicates whether or not the documents reached Mr. Duong. An English translation of the relevant portions of Document 4 is attached.

13) Showa Denko K.K., under my direction, has conducted an internet search, and has found 2 persons who have the same name as Mr. Duong. These websites show a photo of the persons. I checked the photos, and found that these 2 persons were not the Mr. Duong who worked at Showa Denko K.K. Attached as Document 5 is a copy of printouts from the websites which show the persons who have the same name as Mr. Duong, but who were not the person that was working for Showa Denko K.K. See especially the printout from the website at <http://www.ntu.edu.sg/home2001/012233589/> and page 3 of the printout from [http://vesta.ltas.ulg.ac.be/webasia/MCMCEMMD/local\\_team.htm.old](http://vesta.ltas.ulg.ac.be/webasia/MCMCEMMD/local_team.htm.old)

14) On February 3, 2006, Showa Denko K.K. tried again to send Mr. Duong the above-mentioned documents to his home address, including a copy of the same Declaration and

STATEMENT OF FACTS  
Application No. 10/541,905

ATTORNEY DOCKET NO. Q73847

Assignment, a copy of the as-filed application and a cover letter of instructions, by FEDEX. A copy of the cover letter, which contains an English translation, is attached as Document 6.

Showa Denko has heard nothing from Mr. Duong so far.

Attached as Document 7 is a copy of a FedEx International Air Way Bill and detailed results of track shipments, which shows that documents were sent to Mr. Duong on February 3, 2006 to his home address, and were received by someone. However, Showa Denko K.K. has not heard from Mr. Duong, and cannot determine who actually received the documents.

Date: April 26, 2006

柳澤 正明  
Masaaki Yanagisawa

**PATENT APPLICATION**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of

Docket No: Q73847

Kenji SHIMIZU, et al.

Appln. No.: 10/541,905

Group Art Unit: Unknown

Confirmation No.: 6243

Examiner: Unknown

Filed: July 12, 2005

For: MAGNETIC RECORDING MEDIUM, METHOD OF MANUFACTURING  
THEREFOR, AND MAGNETIC READ/WRITE APPARATUS

**DOCUMENT 1**



SHOWA DENKO K.K.

13-9, Shiba Daimon 1-Chome  
Minato-ku, Tokyo 105-8518 Japan  
Phone: 3-6470-3768 Facsimile: 3-3433-0960

2005年7月12日

デュオング 様

昭和電工 (株) 知的財産部  
担当: 柳澤 正明



〒105-8518  
東京都港区芝大門一丁目13番9号  
TEL 03-5470-3768  
FAX 03-3433-0960  
e-mail: Masaaki\_Yanagisawa@sdk.co.jp

件名: 米国・中国出願の書類の件

拝啓 時下ますますご清栄のこととお慶び申し上げます。  
昭和電工株式会社、知的財産部の柳澤と申します。デュオングさんが昭和電工エイチ  
ディーに在職中に行いました発明に関しまして、米国、中国に特許出願することにな  
りました。つきましては、添付致しました出願明細書をご確認の上、書類に署名頂き、  
弊社にお戻し下さいますようお願い致します。特許出願を行い、審査を受けるために、  
はデュオングさんの署名が必要になります。宜しくお願い致します。

敬具

(English translation of the upper Japanese text)

July 12, 2005

Mr. Nguyen Tien Duong

Dear Mr. Nguyen Tien Duong:

I am Yanagisawa of Showa Denko K.K., intellectual property  
department. We do patent applications in the U.S. and China about the patent  
invented while you were working at Showa Denko HD. Therefore, please sign  
application documents after confirming the attached patent application  
specification. And please return our company the documents. In order to  
perform patent applications and undergo examination about the applications,  
your signature is required for the documents.

Thank you for your kind cooperation and attention.

Very truly yours,

柳澤 正明

Masaaki Yanagisawa

# DECLARATION AND POWER OF ATTORNEY FOR UTILITY OR DESIGN PATENT APPLICATION (37 C.F.R. 1.63)

## 実用・意匠特許出願宣言書および委任状 (37 C.F.R. 1.63)

### Japanese Language Declaration

私は以下の通り宣言します：

各発明者の住所、郵送先、および国籍は下記氏名の後に記載された通りです。

下記名称の発明に関し請求範囲に記載され特許出願がされている発明内容につき、下記に記載された発明者が本来かつ最初の発明者であると信じます。

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☐ 上記発明の明細書は本書に添付されます。

または

☐ 上記発明は米国出願番号あるいは PCT 国際出願番号 \_\_\_\_\_ (確認番号 \_\_\_\_\_) として \_\_\_\_\_ 年 \_\_\_\_\_ 月 \_\_\_\_\_ 日に提出され、  
\_\_\_\_\_ 年 \_\_\_\_\_ 月 \_\_\_\_\_ 日に補正されました (該当する場合)。

私は補正が上に明示された場合は補正された特許請求範囲を含む前記明細書の内容を検討し、理解していることをここに表明します。

私は一部継続出願の場合先行出願の出願日から一部継続出願の国内あるいは PCT 国際出願日までの期間中に入手された重要な情報を含み、37 C.F.R. 1.56 に定義される特許性に肝要な情報について開示義務があることを認めます。

I hereby declare that:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

☐ the specification of which is attached hereto

OR

☒ was filed on January 14, 2004  
as United States Application Number or PCT  
International Application Number PCT/JP2004/00205  
(Confirmation No. \_\_\_\_\_),  
and was amended on \_\_\_\_\_

\_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. 1.56, including for continuation-in-part application(s), material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

## Japanese Language Declaration

私は 35 U.S.C. 119(a)-(d) あるいは (f), または 365(b) に基づき特許、発明者、あるいは植物育種家証書の下記の外国出願、または 365(a) に基づきアメリカ合衆国以外の外国出願、または 1ヶ国を指定した下記 PCT 国際出願について少なくとも 1ヶ国を指定した下記 PCT 国際出願について外国優先権特典をここに主張するとともに、下記項目の外国印を付けることにより優先権を主張する出願以前の出願日を有する特許、発明者、あるいは植物育種家証書の外国出願または PCT 国際出願を示します。

Prior Foreign Application Number(s)  
先行外国出願番号

P 2003-006188  
(Application Number)  
(出願番号)

Japan  
(Country)  
(国名)

January 14, 2003  
(Filing Date)  
(出願日)

Priority Claimed?  
優先権の主張 ?

Yes No  
有り無し  
☒ ☐

P 2003-006189  
(Application Number)  
(出願番号)

Japan  
(Country)  
(国名)

January 14, 2003  
(Filing Date)  
(出願日)

☒ ☐

私は 35 U.S.C. 119(e) に基づき下記の米国仮特許出願の国内優先権をここに主張します。

60/440,631  
(Application Number)  
(出願番号)

January 17, 2003  
(Filing Date)  
(出願日)

I hereby claim domestic priority under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

(Application Number)  
(出願番号)

(Filing Date)  
(出願日)

私は 35 U.S.C. 120 に基づき下記米国特許出願、あるいは 365(c) に基づき米国を指定する下記 PCT 国際出願の利益をここに主張し、本特許出願内特許請求範囲の各項目の内容が 35 U.S.C. 112 の最初の項に規定される方法により先行米国あるいは PCT 国際特許出願で開示されていない限りにおいて 37 C.F.R. 1.56 に定義される本出願の特許性に肝要で、先行特許出願の出願日から本特許出願の国内あるいは PCT 国際出願日までの期間中に入手された情報について開示義務があることを認めます。

I hereby claim benefit under 35 U.S.C. 120 of any United States application(s) or 365(c) of any PCT international application(s) designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in a listed prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge my duty to disclose any information material to the patentability of this application as defined in 37 C.F.R. 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Prior U.S. or International Application Number(s)  
先行米国あるいは国際出願番号

(Application Number)  
(出願番号)

(Filing Date)  
(出願日)

(Status: patented, pending, abandoned)  
(状態: 特許成立済、係属中、放棄済)

(Application Number)  
(出願番号)

(Filing Date)  
(出願日)

(Status: patented, pending, abandoned)  
(状態: 特許成立済、係属中、放棄済)

私は本宣言書内で私自身の知識に基づいてなされたすべての陳述が真実であり、情報および信ずるところに基づいてなされたすべての陳述が真実であると信じられていることをここに宣言し、さらに故意になされた虚偽の陳述等々は 18 U.S.C. 1001 に基づき罰金あるいは拘禁または両方による処罰にあたり、またかような故意による虚偽の陳述はそれに基づく特許出願あるいは成立特許の有効性を危うくする可能性があることを認識した上でこれらの陳述をなしたことを宣言します。

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

## Japanese Language Declaration

委任状：私は下記の米国特許商標局（USPTO）顧客番号のもとに記載される SUGHRUE MION 法律事務所のすべての弁護士を、同顧客番号のもとに記載される個々の弁護士は Sughrue Mion 法律事務所のみ自由裁量に基づき変更され得ることを認識した上で、本特許出願の手続きおよびそれに関わる米国特許商標局との業務を遂行する弁護士として指名し、本特許出願に関するすべての通信が同 USPTO 顧客番号のもとに提出された住所宛に送付されることを要請します。

POWER OF ATTORNEY: I hereby appoint all attorneys of SUGHRUE MION, PLLC who are listed under the USPTO Customer Number shown below as my attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, recognizing that the specific attorneys listed under that Customer Number may be changed from time to time at the sole discretion of Sughrue Mion, PLLC, and request that all correspondence about the application be addressed to the address filed under the same USPTO Customer Number.

### STATEMENT OF ACCURATE TRANSLATION IN ACCORDANCE WITH 37 C.F.R. §1.69(b):

The declaration and power of attorney is an accurate translation of the corresponding English language declaration and power of attorney.

Signature

Date

WASHINGTON OFFICE

**23373**

CUSTOMER NUMBER

電話連絡は下記へ：

SUGHRUE MION, PLLC  
(202) 293-7060

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SUGHRUE MION, PLLC  
(202) 293-7060

#### NAME OF SOLE OR FIRST INVENTOR:

唯一あるいは第一の発明者名

|   |  |                                     |  |
|---|--|-------------------------------------|--|
| Given Name (first and middle [if any])<br>名 (名およびミドルネーム[該当する場合]) Kenji                                    |  | Family Name or Surname<br>姓 SHIMIZU |  |
| Inventor's signature<br>発明者の署名  |  | Date<br>日付                          |  |
| Residence:<br>住所:   |  | Citizenship<br>国籍 Japan             |  |
| Mailing Address:<br>郵送先: c/o Showa Denko HD K.K., 5-1, Yawata Kaigan dori, Ichihara-shi, Chiba-ken, Japan |  |                                     |  |

#### NAME OF SECOND INVENTOR:

第二の発明者名:

|   |  |                                      |  |
|---|--|--------------------------------------|--|
| Given Name (first and middle [if any])<br>名 (名およびミドルネーム[該当する場合]) Akira                                    |  | Family Name or Surname<br>姓 SAKAWAKI |  |
| Inventor's signature<br>発明者の署名  |  | Date<br>日付                           |  |
| Residence:<br>住所:   |  | Citizenship<br>国籍 Japan              |  |
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**NAME OF THIRD INVENTOR:**

第三の発明者名:

|   |  |                                       |  |
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| Given Name (first and middle [if any])<br>名(名およびミドルネーム[該当する場合]) Kazuo                                     |  | Family Name or Surname<br>姓 KOBAYASHI |  |
| Inventor's signature<br>発明者の署名  |  | Date<br>日付                            |  |
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**NAME OF FOURTH INVENTOR:**

第四の発明者名:

|   |  |                                   |  |
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| Inventor's signature<br>発明者の署名  |  | Date<br>日付                        |  |
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**NAME OF FIFTH INVENTOR:**

第五の発明者名:

|   |  |                                   |  |
|---|--|-----------------------------------|--|
| Given Name (first and middle [if any])<br>名(名およびミドルネーム[該当する場合]) Hiroshi                                   |  | Family Name or Surname<br>姓 SAKAI |  |
| Inventor's signature<br>発明者の署名  |  | Date<br>日付                        |  |
| Residence:<br>住所:   |  | Citizenship<br>国籍 Japan           |  |
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**NAME OF SIXTH INVENTOR:**

第六の発明者名:

|   |  |                                      |  |
|---|--|--------------------------------------|--|
| Given Name (first and middle [if any])<br>名(名およびミドルネーム[該当する場合]) Takashi                                     |  | Family Name or Surname<br>姓 HIKOSAKA |  |
| Inventor's signature<br>発明者の署名  |  | Date<br>日付                           |  |
| Residence:<br>住所:   |  | Citizenship<br>国籍 Japan              |  |
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**NAME OF SEVENTH INVENTOR:**

第七の発明者名:

|   |  |                                    |  |
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| Given Name (first and middle [if any])<br>名(名およびミドルネーム[該当する場合]) Soichi                                      |  | Family Name or Surname<br>姓 OIKAWA |  |
| Inventor's signature<br>発明者の署名  |  | Date<br>日付                         |  |
| Residence:<br>住所:   |  | Citizenship<br>国籍 Japan            |  |
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**NAME OF EIGHTH INVENTOR:**

第八の発明者名:

|   |  |                                   |  |
|---|--|-----------------------------------|--|
| Given Name (first and middle [if any])<br>名 (名およびミドルネーム[該当する場合]) Tomoyuki                                   |  | Family Name or Surname<br>姓 MAEDA |  |
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**NAME OF NINTH INVENTOR:**

第九の発明者名:

|   |  |                                      |  |
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| Inventor's signature<br>発明者の署名  |  | Date<br>日付                           |  |
| Residence:<br>住所:   |  | Citizenship<br>国籍 Japan              |  |
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**NAME OF TENTH INVENTOR:**

第十の発明者名:

|  |  |                             |  |
|--|--|-----------------------------|--|
| Given Name (first and middle [if any])<br>名 (名およびミドルネーム[該当する場合]) |  | Family Name or Surname<br>姓 |  |
| Inventor's signature<br>発明者の署名                                   |  | Date<br>日付                  |  |
| Residence:<br>住所:  |  | Citizenship<br>国籍           |  |
| Mailing Address:<br>郵送先:   |  |                             |  |

**NAME OF ELEVENTH INVENTOR:**

第十一の発明者名:

|  |  |                             |  |
|--|--|-----------------------------|--|
| Given Name (first and middle [if any])<br>名 (名およびミドルネーム[該当する場合]) |  | Family Name or Surname<br>姓 |  |
| Inventor's signature<br>発明者の署名                                   |  | Date<br>日付                  |  |
| Residence:<br>住所:  |  | Citizenship<br>国籍           |  |
| Mailing Address:<br>郵送先:   |  |                             |  |

**NAME OF TWELFTH INVENTOR:**

第十二の発明者名:

|  |  |                             |  |
|--|--|-----------------------------|--|
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| Inventor's signature<br>発明者の署名                                   |  | Date<br>日付                  |  |
| Residence:<br>住所:  |  | Citizenship<br>国籍           |  |
| Mailing Address:<br>郵送先:   |  |                             |  |

**Supplemental Priority Data Sheet**  
優先権に関する追補データシート

**Additional prior foreign applications:**  
追加的の先行外国特許出願：

| Application Number(s)<br>出願番号  | Country<br>国名  | Filing Date<br>出願日             | Priority Claimed?<br>優先権の主張？        |                          |
|--------------------------------|----------------|--------------------------------|-------------------------------------|--------------------------|
|                                |                |                                | Yes<br>有り                           | No<br>無し                 |
| P 2003-103452<br>P 2003-103453 | Japan<br>Japan | April 7, 2003<br>April 7, 2003 | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
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|                                |                |                                | <input type="checkbox"/>            | <input type="checkbox"/> |

**Additional provisional applications:**  
追加的仮出願：

| Application Number(s)<br>出願番号 | Filing Date<br>出願日 |
|-------------------------------|--------------------|
|                               |                    |

**Additional U.S. or International applications:**  
追加的米国または国際出願：

| Application Number(s)<br>出願番号 | Filing Date<br>出願日 | Status: patented, pending, abandoned<br>(状態：特許成立済、係属中、放棄済) |
|-------------------------------|--------------------|--|
|                               |                    |  |

# ASSIGNMENT

Whereas, I/we, (1) Kenji SHIMIZU; (2) Akira SAKAWAKI; (3) Kazuo KOBAYASHI; (4) Nguyen Tien Duong; (5) Hiroshi SAKAI; (6) Takashi HIKOSAKA; (7) Soichi OIKAWA; (8) Tomoyuki MAEDA; and (9) Futoshi NAKAMURA

Address of (1) - (5) inventors: c/o Showa Denko HD K.K., 5-1, Yawata Kaigan dori, Ichihara-shi, Chiba-ken; and address of (6) - (9) inventors: c/o Kabushiki Kaisha Toshiba, Ome Complex, 2-9, Suehiro-cho, Ome-shi, Tokyo, Japan, hereinafter called assignor(s), have invented certain improvements in

and executed an application for Letters Patent of the United States of America therefor on

200 ; and

Whereas, (1) SHOWA DENKO K.K. of 13-9, Shibadaimon 1-chome, Minato-ku, Tokyo 105-8518 Japan; and (2) Kabushiki Kaisha Toshiba of 1-1-1, Shibaura, Minato-ku, Tokyo, Japan (assignee), desires to acquire the entire right, title and interest in the application and invention, and to any United States and foreign patents to be obtained therefor;

Now therefore, for valuable consideration, receipt whereof is hereby acknowledged,

I/We, the above named assignor(s), hereby sell, assign and transfer to the above named assignee, its successors and assigns, the entire right, title and interest in the application and the invention disclosed therein for the United States of America and all countries foreign thereto, including the rights of priority under the International Convention of Paris (1883) as amended, and I/we request the Director - U.S. Patent and Trademark Office to issue any Letters Patent granted upon the invention set forth in the application to the assignee, its successors and assigns; and I/we hereby agree that the assignee may apply for foreign Letters Patent on the invention and I/we will execute without further consideration all papers deemed necessary by the assignee in connection with the United States and foreign applications when called upon to do so by the assignee.

I/We hereby authorize and request my/our attorneys SUGHRUE MION, PLLC of 2100 Pennsylvania Avenue, N.W., Washington, D.C. 20037-3213 to insert here in parentheses (Application number \_\_\_\_\_, filed \_\_\_\_\_) the filing date and application number of said application when known.

Date: s/ \_\_\_\_\_  
Kenji SHIMIZU

Date: s/ \_\_\_\_\_  
Akira SAKAWAKI

Date: s/ \_\_\_\_\_  
Kazuo KOBAYASHI

Date:

s/ \_\_\_\_\_  
Nguyen Tien Duong

Date:

s/ \_\_\_\_\_  
Hiroshi SAKAI

Date:

s/ \_\_\_\_\_  
Takashi HIKOSAKA

Date:

s/ \_\_\_\_\_  
Soichi OIKAWA

Date:

s/ \_\_\_\_\_  
Tomoyuki MAEDA

Date:

s/ \_\_\_\_\_  
Futoshi NAKAMURA

(Legalization not required for recording but is prima facie evidence of execution under 35 U.S.C. § 261)

**PATENT APPLICATION**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of

Docket No: Q73847

Kenji SHIMIZU, et al.

Appln. No.: 10/541,905

Group Art Unit: Unknown

Confirmation No.: 6243

Examiner: Unknown

Filed: July 12, 2005

For: MAGNETIC RECORDING MEDIUM, METHOD OF MANUFACTURING  
THEREFOR, AND MAGNETIC READ/WRITE APPARATUS

**DOCUMENT 2**

# 国際郵便物受領証

Receipt for International Mail

下記の郵便物を引き受けました。

Received for transmission of item indicated below:

- ☒ 国際書留通常 Registered mail  
☐ 保険付書状 Insured letter  
☐ EMS

番号

No. NR 15394121 JP

差出人住所氏名 Name and address of sender

SHOWA DENKO K.K. 13-9, Shiba Daimon 1-Chome, Tokyo

受取人住所氏名 Name and address of addressee

Mr. Nguyen Tien Duong, Phung 508, Day nha No 1A Ban da Linh Dam

郵便料金 Postage

7920

円 Yen 種類 Class

L

備考 Remarks

AIR

引受局日付印

Stamp-Air Receiving Office

105-4

12 VII 05-12-18

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以下は、保険付書状の場合のみ記入 Indicate only in case of insured letter

重量 Weight

全体 Gross

g

内容品 Contents

価格 Value

SDR

正味 Net

g

注 記入の際には、上記の□欄内に✓印を付すこと。

Note: Place a check (✓) in the appropriate box.

209021

**PATENT APPLICATION**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of

Docket No: Q73847

Kenji SHIMIZU, et al.

Appln. No.: 10/541,905

Group Art Unit: Unknown

Confirmation No.: 6243

Examiner: Unknown

Filed: July 12, 2005

For: MAGNETIC RECORDING MEDIUM, METHOD OF MANUFACTURING  
THEREFOR, AND MAGNETIC READ/WRITE APPARATUS

**DOCUMENT 3**



# 国 際 郵 便 約 款



# 国際郵便約款

実施 平成15年4月1日  
最近改正 平成17年9月1日

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request  
for  
search  
→

### 第3節 調査請求

#### (調査請求)

第87条 調査請求は、国際郵便物（EMS郵便物を除きます。）に不着、内容品亡失、損傷、遅延、受取通知用紙の未受領等が発生した場合に、郵便物の差出人又は受取人の請求により、郵便物の取扱いについて調査する取扱いです。

2 前項の請求は、差出人が料金表で定める額の手数料を添えて、これを行っていただきます。

#### (外国あて郵便物の調査請求)

第88条 外国あて郵便物の調査請求は、差出人が、郵便物の差出日の翌日から起算して6か月以内（南アフリカ共和国あての小包郵便物については1年以内）に差出郵便局、集配郵便局、国際交換局又は公社が指定する郵便局へ請求する場合に、これを取り扱います。

(注) 公社が指定する郵便局は、支社が指定した郵便局とします。

#### (外国発の郵便物の調査請求)

第89条 外国来の郵便物又は外国相互間に発着する郵便物（南アフリカ共和国発の小包郵便物及び南アフリカ共和国とその他の国との間に発着する小包郵便物を除きます。）の調査請求は、差出人又は受取人が、郵便物の差出しの日の翌日から起算して6か月以内に限り、集配郵便局、国際交換局又は公社が指定する郵便局へ請求する場合に、これを取り扱います。

(注) 公社が指定する郵便局は、支社が指定した郵便局とします。

#### (調査請求の利用条件)

第90条 調査請求を行う場合には、請求人には郵便局において、公社所定の調査請求書に必要事項を明瞭に記入していただきます。

2 前条に定める郵便物が書留とする通常郵便物又は保険付とする書状であるときは、請求の際にその郵便物の受領証を、郵便局に提示していただきます。

#### (調査請求の取扱い)

第91条 公社は、調査請求を受理した場合、その郵便物の取扱状況を入手できる情報の範囲内で、請求人に対してできるだけ速やかに請求受理局を通じて書面により回答します。

## International mail article

Enforcement April 1, Heisei 15

Recently revision September 1, Heisei 17

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### Section 3 Investigation Claim

(Investigation claim)

87th article an investigation claim is the handling investigated about the handling of mail by claim of the sender of mail or a recipient, when non-delivered, contents missed, damage, delay, un-receiving of a notice-of-receipt paper, etc. occur in an international mail thing (except for EMS mail).

2 The claim of the preceding clause attaches the commission of the frame which the sender defines by a price list, and has this performed.

(Investigation request for the addressing mail to a foreign country)

88th article the investigation request for the addressing mail to a foreign country deals with this, when asking to the post office which the sender measures from the next day of the presenting day of mail, obtrudes within six (it is less than one year about the parcel post addressed to the Republic of South Africa) months, and a post office, a general post office, an international exchange station, or a public corporation specifies.

(Note) Let the post office specified by a public corporation be a post office specified by a branch.

**PATENT APPLICATION**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of

Docket No: Q73847

Kenji SHIMIZU, et al.

Appln. No.: 10/541,905

Group Art Unit: Unknown

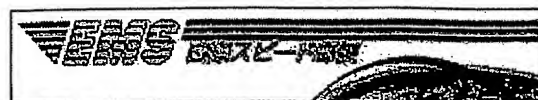
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For: MAGNETIC RECORDING MEDIUM, METHOD OF MANUFACTURING  
THEREFOR, AND MAGNETIC READ/WRITE APPARATUS

**DOCUMENT 4**



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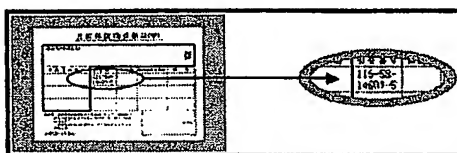
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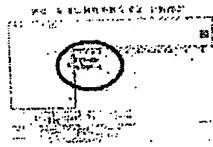
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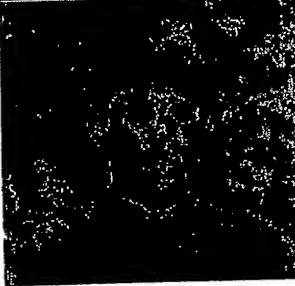


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|  <p><b>VU Duc Khoi</b><br/>Senior Research Fellow</p>       | <p>Originated from Hanoi, <i>VU Duc Khoi</i> was graduated in the Technology. After his master degree in the EMMC Centre (EMC) in Minh City, he had achieved his PhD degree in University of Liège. In 2001, he works in MCMC/EMMD Centre as senior research fellow. He works on the computers and develops software at the centre.</p>  |
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| <p><b>WANTED</b></p> <p><b>DO Van Truong</b><br/>Research Fellow</p>   | <p><i>DO Van Truong</i> comes from Nam Dinh Province. He attended the EMMC 3 programme (first promotion) and had received a scholarship for Belgium in 2000. He received now a special scholarship for continuing his studies in Belgium. This is attributed by the <u>Commissariat Général à l'Égalité des Territoires</u> of the French Speaking Community of Belgium.</p>   |
|  <p><b>DOAN Duc-Bao</b><br/>Senior Research Engineer,</p> | <p><i>Duc Bao DOAN</i> is Senior research engineer at the <u>Laboratory of Aerospace Techniques</u> (University of Liège, Belgium). He has a master degree in Management Engineering and a master degree in Mechanics Engineering. In scientific domains, his activities include the modelling and analysis of flexible articulated systems (vehicle dynamics, antennas, landing gears dynamics...), development of computer simulation; he is also experimented in project management and administration.</p> |



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---

About  
Me  
Home  
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## Welcome to My Personal Website !

My name is Nguyen Tien Duong ( CE2 ).This is my main website for *SC207 - Software Engineering* . It is under construction. You may visit it later for a better 'user interface'.

Have Fun With the Site!

**PATENT APPLICATION**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of

Docket No: Q73847

Kenji SHIMIZU, et al.

Appln. No.: 10/541,905

Group Art Unit: Unknown

Confirmation No.: 6243

Examiner: Unknown

Filed: July 12, 2005

For: MAGNETIC RECORDING MEDIUM, METHOD OF MANUFACTURING  
THEREFOR, AND MAGNETIC READ/WRITE APPARATUS

**DOCUMENT 6**



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2006年2月3日

デュオン グ様

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拝啓 時下ますますご清栄のこととお慶び申し上げます。

昭和電工株式会社、知的財産室の柳澤と申します。デュオン グさんが昭和電工エイチディーに在職中に行いました発明に関しまして、米国、中国に特許出願することになりました。つきましては、同封致しました出願明細書をご確認の上、宣言書、委任状、譲渡証の3ヵ所に署名頂き、署名した書類を弊社にお戻し下さいますようお願い致します。米国・中国に特許出願を行い、審査を受けるためにはデュオン グさんの署名が必要になります。宜しくお願い致します。

敬具

(English translation of the upper Japanese text)

February 3, 2006

Mr. Nguyen Tien Duong

Dear Mr. Nguyen Tien Duong:

I am Yanagisawa of Showa Denko K.K., intellectual property office. We do patent application in the U.S. and China about the patent invented while you were working at Showa Denko HD. Therefore, Please sign three places of DECLARATION AND POWER OF ATTORNEY FOR UTILITY OR DESIGN PATENT APPLICATION and ASSIGNMENT after confirming the attached patent application description. And please return our company the documents which signed. In order to perform patent applications and undergo examination about the applications, your signature is required for the documents.

Thank you for your kind cooperation and attention.

Very truly yours,

柳澤 正明  
Masaaki Yanagisawa

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In re application of

Docket No: Q73847

Kenji SHIMIZU, et al.

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**DOCUMENT 7**

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# FedEx

## FedEx International Air Waybill

POWERSHIP PREPRINT

Express

For FedEx express services

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Date: April 06, 1997

Service: Express

Account Number: 1436-7584-0

Sender's Name: FOREIGN RELATIONS GR

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**Tracking number** 848566113875  
**Signed for by** .THANH  
**Ship date** Feb 3, 2006  
**Delivery date** Feb 7, 2006 9:51 AM  
**Status** Delivered

**Destination**  
**Delivered to**  
**Service type**  
**Weight**

HANOI VN  
 Receptionist/Front Desk  
 Priority Envelope  
 0.1 kgs.

| Date/Time   | Activity                              | Location         | Details                         |
|-------------|---------------------------------------|------------------|---------------------------------|
| Feb 7, 2006 | 9:51 AM Delivered                     | HANOI VN         |                                 |
|             | 8:32 AM On FedEx vehicle for delivery | HANOI VN         |                                 |
|             | 7:33 AM In transit                    | HANOI VN         | Package available for clearance |
| Feb 6, 2006 | 7:33 AM At local FedEx facility       | HANOI VN         |                                 |
|             | 1:43 AM Departed FedEx location       | SUBIC BAY        |                                 |
| Feb 5, 2006 | 9:17 PM Departed FedEx location       | FREEPORT PH      |                                 |
|             |                                       | SUBIC BAY        |                                 |
| Feb 4, 2006 | 3:02 AM In transit                    | FREEPORT PH      |                                 |
|             |                                       | SUBIC BAY        |                                 |
|             |                                       | FREEPORT PH      |                                 |
| Feb 3, 2006 | 1:56 AM Arrived at FedEx location     | SUBIC BAY        |                                 |
|             |                                       | FREEPORT PH      |                                 |
|             | 8:31 PM Left origin                   | TOKYO-KOTO-KU JP |                                 |
|             | 4:41 PM Picked up                     | TOKYO-KOTO-KU JP |                                 |

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JULY 14, 2006

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\*103248317A\*

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2100 PENNSYLVANIA AVENUE, N.W.  
SUITE 800  
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DOC DATE: 04/20/2006

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ASSIGNEE: ✓

SHOWA DENKO K.K.

13-9, SHIBADAIMON 1-CHOME, MINATO-  
KU

TOKYO 105-8518, JAPAN

ASSIGNEE: ✓

KABUSHIKI KAISHA TOSHIBA

1-1-1, SHIBAURA, MINATO-KU  
TOKYO, JAPAN

SERIAL NUMBER: 10541905

FILING DATE:

PATENT NUMBER:

ISSUE DATE:

TITLE: MAGNETIC RECORDING MEDIUM, METHOD OF MANUFACTURING THEREFOR, AND  
MAGNETIC READ/WRITE APPARATUS ✓

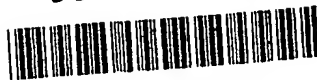
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Kazuo KOBAYASHI  
Hiroshi SAKAI  
Takashi HIKOSAKA  
Soichi OIKAWA  
Tomoyuki MAEDA  
Futoshi NAKAMURA

## 2. Name and address of receiving party(ies):

SHOWA DENKO K.K.  
13-9, Shibadaimon 1-chome, Minato-ku, Tokyo 105-8518 Japan  
  
KABUSHIKI KAISHA TOSHIBA  
1-1-1, Shibaura, Minato-ku, Tokyo, JapanAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

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Execution Date: April 20, 2006

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## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)  
10/541,905

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CONFIRMATION NO. 6243

371  
 ABANDONMENT/TERMINATION  
 LETTER

  
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**NOTIFICATION OF ABANDONMENT**

The United States Patent and Trademark Office in its capacity as a Designated / Elected Office (37 CFR 1.495) has made the following determination:

- Applicant has failed to respond to the notification of MISSING REQUIREMENTS (Form PCT/DO/EO/905), mailed 02/17/2006 within the time period set therein.

Therefore, the above identified application failed to meet the requirements of 35 U.S.C. 371 and 37 CFR 1.495, and is ABANDONED AS TO THE UNITED STATES OF AMERICA.

JOHN L ANDERSON

Telephone: (703) 308-9140 EXT 211

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